



HH

GP2161 #5

Docket No.: SONY 3.0-034
(PATENT)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:
Maritzen et al.

Application No.: 10/015,070

Group Art Unit: 2161

Filed: December 11, 2001

Examiner: Not Yet Assigned

For: METHOD AND SYSTEM OF CONDUCTING
NETWORK-BASED TRANSACTIONS

Commissioner for Patents
Washington, DC 20231

RECEIVED
APR 08 2002
Technology Center 2100

INFORMATION DISCLOSURE STATEMENT

Dear Sir:

It is respectfully requested that the information listed on the enclosed form be made of record and considered with respect to the above-referenced U.S. patent application. A copy of each piece of information is enclosed. Submission of the present Information Disclosure Statement should not be taken as an admission that the cited information is legally available prior art or that the same are pertinent or material.

This Information Disclosure Statement is being filed before a first Office Action on the merits and, therefore, fee is believed due. In the event that any fee is due in connection with the present Information Disclosure Statement, the Commissioner is hereby authorized to charge the same to our Deposit Account No. 12-1095.

Dated: March 28, 2002

Respectfully submitted,

By Matthew B. Dernier
Matthew B. Dernier
Registration No.: 40,989
LERNER, DAVID, LITTENBERG,
KRUMHOLZ & MENTLIK, LLP
600 South Avenue West
Westfield, New Jersey 07090
(908) 654-5000
Attorneys for Applicant

I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail, in an envelope addressed to: Commissioner for Patents, Washington, DC 20231, on the date shown below.

Dated: March 28, 2002

Signature: Matthew B. Dernier

(Matthew B. Dernier)



PTO/SB/08A (10-01)

Approved for use through 10/31/2002.OMB 0651-0031

U. S. Patent and Trademark Office: U. S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet 1 of 1

Complete if Known

Application Number	10/015,070
Filing Date	December 11, 2001
First Named Inventor	L. Michael Maritzen
Art Unit	2161
Examiner Name	Not Yet Assigned
Attorney Docket Number	SONY 3.0-034

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
	AA	5,744,787 /	04-28-1998	Teicher	
	AB	5,521,362 /	05-28-1996	Powers	
	AC	5,461,217 /	10-24-1995	Claus	
	AD	5,221,838 /	06-22-1993	Gutman et al.	
	AE	5,550,358 /	08-27-1996	Tait et al.	
	AF	5,748,737 /	05-05-1998	Daggar	
	AG	5,856,659 /	01-05-1999	Drupsteen et al.	
	AH	5,878,138 /	03-02-1999	Yacobi	
	AI	5,936,220 /	08-10-1999	Hoshino et al.	
	AJ	5,945,652 /	08-31-1999	Ohki et al.	

RECEIVED
APR 08 2002
Technology Center 2100**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)				

¹ Applicant's unique citation designation number (optional). ² See attached Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the application number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	CA	U.S. Patent Application No. 10/014,112, filed December 11, 2001, entitled "System And Method For Conducting Secure Transactions Over A Network".	
	CB	U.S. Patent Application No. 10/014,960, filed December 11, 2001, entitled "Method And System For Executing Deferred Transactions".	
	CC	U.S. Patent Application No. 09/483,584, filed December 11, 2000, entitled "Secure Electronic Commerce System".	

Examiner Signature	Date Considered
-----------------------	--------------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.